



Corrective Action Plans Status a/o 9/08

APA Audit Report of Commonwealth IT Governance & VITA Operations a/o 4/7/06, Issued 5/06

| APA Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|---------|--|--|-------------------------|-----------------------|--------|----------------------|---|
| 18 | Adopt Uniform Infrastructure Procedure | Service Mgmt. Org. should adopt uniform procedures that apply to all aspects of VITA's infrastructure. | 6/08 3/09 | Fred Duball | U | Initial Plan 5/06 | A complete plan for establishing consistent, ITIL conformant procedures manual by 8/06. Existing processes will be compiled into a centralized repository by 10/06. Starting in 3/07, as services are transformed, ITIL conformant processes are deployed with all procedures ITIL conformant by 6/08. |
| | | | | | | 7/06 | The project started on July 1. |
| | | | | | | 9/06 | Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures. |
| | | | | | | 12/06 | Many Critical Interim Operational Procedures have been identified & implemented, while others remain under development & are on schedule to complete. Executing to plan, on track to meet milestones. Phase 1 ITIL Project (Change, Configuration, Release) Workshops have been completed. Phase 1 Design phase pending final reviews. Staff has received ITIL training. |
| | | | | | | 3/07 | Running one month behind schedule on developing procedures. Priority is on security procedures. Project the procedures manual being back on schedule in August 07. Phase 1 ITIL project (Change, Configuration, Release) scheduled to deploy to IT Infrastructure staff from April to June. Agency personnel deployments start in July. |
| | | | | | | 6/07 | Phase 1 of the ITIL project (Change, Configuration, Release) has been delayed to complete the Acceptance Test Plan pre-live testing & adopt a phased rollout approach for ITP Infrastructure staff to minimize agency impact. The phased rollout to ITP infrastructure staff will occur from July to August. Agency personnel deployments are projected to start in August. This Phase 1 delay should not impact the Phase 2 rollout (Incident, Problem, Capacity, & Availability) which is scheduled to start in 8/07. The infrastructure aspects of the procedures manual project will be back on schedule by 8/07. Populating the procedures manual with content is significantly behind schedule, but should be complete by 6/08. |
| | | | | | | 9/07 | Phase 1 of the ITIL project (Change, Configuration, & Release) has been deployed to all ITP staff for internal Change Management. ITIL compliant Change Management, to include agency participation, is scheduled to roll out starting in Nov. Phase 2 processes (Incident, Problem, Capacity, & Availability) are nearly |

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APA Audit Report of Commonwealth IT Governance & VITA Operations a/o 4/7/06, Issued 5/06

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| | | | | | | | one month behind schedule. The procedures manual project has made progress in formalizing the process for procedures submission & review; however, the team is significantly behind on execution. A revised plan is due 10/07 to correct the deficiencies, & meet the 6/08 date for a ITIL conformant procedures manual. |
| | | | | | | 12/07 | Phase 1 of the ITIL project (Change, Configuration, & Release) has been deployed to all ITP staff for internal Change Management. ITIL compliant Change Management, to include agency participation, is significantly delayed due to process maturity issues. Phase 2 processes (Incident, Problem, Capacity, & Availability) are now over three months behind schedule. The procedures manual project has made progress in formalizing the process for procedures submission & review; however, the team is significantly behind on execution. A recovery plan is under review. While the 6/08 date for the procedures manual is at risk, NG has committed to providing the resources to achieve this milestone. |
| | | | | | | 3/08 | <p>The Partnership has made some major changes to solve challenges as part of the recovery plan. A Cross Functional Services Office (CFSO) was established in 2/08 & assigned management of ITIL, Procedures Manual, & other key horizontal activities. This management team has moved quickly to review & improve all plans & personnel assignments. Twenty-five new positions have been created.</p> <p>The CFSO's ITIL subteam has been augmented with some of these new positions, as well as external ITIL consulting resources. The new manager has been fully empowered to focus on accomplishing 2 of 3 signoff checkpoints by 6/01/08: Design, & Go-Live of all ITIL processes. The third checkpoint, Implementation Complete, is dependent on processes maturing after Go-Live. Maturity reviews will occur starting at 3-months post Go Live & monthly thereafter until acceptance criteria are met to mutual VITA-NG satisfaction.</p> <p>The CFSO's Procedures Manual subteam has also benefitted from the commitment of additional resources. Process Analysts are now assisting each functional team in developing policies, processes & procedures through VITA-NG peer review & then Process Review Board (PRB) acceptance. The team is on schedule to achieve PRB acceptance on all documents in the Procedure Manual Outline, which includes the ITIL processes, by 6/01/08.</p> |



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APA Audit Report of Commonwealth IT Governance & VITA Operations a/o 4/7/06, Issued 5/06

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| | | | | | | | Functional area policy & process owners are adopting guidance documents as they attain approval by the PRB. VITA will check the maturity of adoption through management reviews, starting with high priority processes in 3Q 2008. |
| | | | | | | 6/08 | <p>The partnership's plan to complete the procedures manual by 6/08 was unsuccessful. The contingency planning reported 5/08 was also unsuccessful.</p> <p>Progress to date:</p> <ul style="list-style-type: none"> Fully approved – 52 Adopted, awaiting process review board – 179 To be completed - ~170 <p>A new team has been brought onto the partnership to update the procedures manual outline, streamline document management processes, & develop a comprehensive schedule for the procedures manual project. The updated schedule will incorporate a prioritization approach targeting Service Catalog – impacting processes first, then agency specific & ITP internal processes as second priority.</p> <p>The plan to complete the remaining procedures is undergoing a major revision; we expect to have date for completion in 7/08.</p> |
| | | | | | | 9/08 | <p>The partnership has brought on additional needed resources, restructured the organization, & streamlined documentation management processes in an effort to successfully deliver a comprehensive procedures manual. The team has been staffed with 8 additional FTEs to facilitate chapter collaboration, release authorization, & PRB facilitation. The documentation process has been redesigned to ensure that sufficient QA, technical editing, & collaboration occur early in the document lifecycle to streamline the submission process & avoid significant rework resulting from poor quality on first submission. An updated schedule has been produced & is being actively managed by chapter facilitators & the project coordinator. The schedule reflects the dates for planned adoption of Uniform Infrastructure Procedures for Priority 1 & Priority 2 documents:</p> <ul style="list-style-type: none"> Priority 1: November 30, 2008 Priority 2: March 31, 2009 |



Corrective Action Plans Status a/o 9/08

APA Audit Report of VITA SMO, Issued 4/08

| APA Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|---------|--|--|---|-----------------------|--------|-------------------|--|
| 1 | Contingency for Procedures Manual Deliverable | SMO work with NG to develop a contingency plan in the likely event complete & official policies, procedures, & processes are not agreed-upon before transformation to a managed service environment. | 7/08 | Fred Duball | C | Initial Plan 5/08 | A complete procedures manual that addresses transformed services offered in the Service Catalog (priority 1) will be in place by 7/08. SMO is working w/NG on a contingency plan to have legacy policies, processes, & procedures available to provide service to those agencies not yet transformed by 7/08. NG will continue to work towards a complete procedures manual that contains all adopted policies, processes, & procedures for all agencies & ITP activities (priority 2) & they have committed to sharing a schedule for priority one & priority two documents the wk of 5/5/08. |
| | | | | | | 6/08 | The procedures manual was not completed as planned on the 5/08 update. As a contingency, existing processes will continue to be used. Also, the partnership will control significant modifications to support models that would be adversely impacted by not having a supporting enterprise wide procedures manual. A go live checklist will be developed for each service area to evaluate readiness. The managed service environment requires technology enhancements, processes, procedures, staffing, training, & performance measurements (via KPI & SLA reports) be in place. |
| | | | | | | 9/08 | Contingency plan outlined in 06/08 is in place. Complete. |
| 2 | Completion of 56 DCD's for Performance Credit Eligible SLA's with NG on 7/1/08 at risk | The Agreement anticipates having 56 Data Collection Documents in place on July 1, 2008. Of these documents, NG has not started 26, 14 are being drafted, 12 are in negotiation, 1 is ready to begin measurement, & 3 are approved & in use. With transformation quickly approaching, it is important for the SMO to have these Data Collection Documents in place in order to effectively measure NG's performance in a managed service environment. Delays past June 1, 2008 will have financial consequences for NG & service management | 7/08 10/08 2/09 | Fred Duball | U | Initial Plan 5/08 | 37 of the 56 Data Collection Documents are on schedule to be completed prior to 7/1. 16 DCDs are now approved, 11 are in collaboration, 1 is in oversight, & 9 are being drafted by NG. The remaining 18 DCDs for the Voice & Video tower are at risk of being late. Contracts is scheduling a meeting to review the inclusion of the remaining 18 V&V DCD's. The 18 V&V DCD's scheduled to be complete by 7/1/08. |
| | | | | | | 6/08 | Of the 56 DCDs scheduled to be completed prior to 7/1: <ul style="list-style-type: none"> 7 were moved to a later date via a contractual ECP 37 are complete 12 are in collaboration, & will be late Project the 12 remaining DCDs (in collaboration & draft) will all be complete by 10/08. |
| | | | | | | 9/08 | Of the 12 DCDs remaining, 7 will be complete by 10/08. The remaining 5 will be complete by 02/09. |

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APA Audit Report of VITA SMO, Issued 4/08

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| | | repercussions for the Commonwealth. | | | | | |
| 3 | Clarify & communicate RFS process | VITA mgmt document & communicate with all its customers the responsibilities of the Partnership as well as the responsibilities of the customer. Doing so will help to prevent the placement of unreasonable service delivery expectations on both parties by one-another. Further, we recommend that VITA place accountability for each phase of the service request process with only 1 responsible party. The clear identification of responsibility will help to identify the root-cause of potential future service delivery failures. | 7/08 11/09 | Fred Duball | U | Initial Plan 5/08 | <ol style="list-style-type: none"> 1. Identify/assign accountable "ownership" for each phase of the 10 step RFS Process. Complete. Need to update procedural documents, where needed. 2. Identify, document recommendations to improve Phase I activities (Lead Qualification). Identify & establish integration points between the RFS & ITIM governance processes. Goal is to improve early engagement, forecasting, & governance approval requirements for business driven projects. Due: 6/08 3. Develop communications plan (customers, stakeholders) related to RFS process, timelines, performance targets, roles, & required interaction with ITIM governance process. Target is 5/08 for draft plan. 4. Execute /deliver communications to customers & stakeholders related to RFS process, timelines, performance targets & roles. 7/08. 5. Define & develop in-flight & monthly performance reporting. In-Flight Pilot (internal stakeholders) is complete. Monthly Performance is due 5/08 6. Develop & execute on improved resource plans for solution development (technical) & business mgmt (financial-pricing). Due 5/08 |
| | | | | | | 6/08 | <ol style="list-style-type: none"> 1. Complete. CAM team is accountable for Lead Qualification. Need to update detailed procedural documents, where needed. 2. a. Developed Charter for Customer Account Teams (include significant focus on Lead Qualification & Strategic Planning). b. Conduct CRM Work Shops & Provide recommendations/next steps. Workshops are now complete. Follow-up to take place with Exec Mgmt. Priorities regarding upcoming workshops & follow-up to be established during the Exec Mgmt session. We will offer hr-long follow up sessions to |

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| | | | | | | | <p>customer facing staff focused on the following: dealing with customers, collecting & understanding business requirements, communications skills, & building internal & external customer relationships.</p> <p>c. Monitor/report effectiveness of Customer Account Team meetings to ensure customers are engaged early in the project process. - Ongoing</p> <p>d. Identify & conduct root cause/corrective actions (agency communications, escalation, etc..) on any future projects that are introduced late in the RFS process (not in strategic plan, customer leverages 3rd party, but does not involve/inform VITA, provides project requirements with short implementation time frames, etc..). - Ongoing.</p> <p>3. Complete - Communications Plan approved.</p> <p>4. Ongoing - Following the plan, have delivered.</p> <p>5. In-Flight Issues log is developed & in use to proactively manage & address delays as they occur. Mthly Performance metrics are behind schedule & are now due July.</p> <p>6. Pending - Have added an additional 9 staff to focus on RFS solution development & implementation. Target for additional staff is 13. Expect all 13 to be on board July.</p> |
| | | | | | | 9/08 | <p>Completed & delivered monthly performance metrics for July & August.</p> <p>Initiated process redesign efforts for year 3 (rated in scope service requests [yr 3-10] verses cost plus [(year 1 and 2)]). Redesign effort expected to take 6 weeks to complete. Also dependent on development & roll out of Peregrine Service Request Module. Goals of Service Request process: reduce cycle times for solution development, reduce pricing confusion, & improve visibility & tracking of service requests.</p> |
| 4 | Improve analysis & reporting of | VITA mgmt continually perform root-cause analyses for major service delivery problems & | 10/08 | Fred Duball | C | Initial Plan 5/08 | VITA Exec Team to work closely with the Information Technology Investment Board (ITIB) to improve the level of reporting we provide on a regular basis. |

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APA Audit Report of VITA SMO, Issued 4/08

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| | VITA service issues to the Board | report their findings at each Board mtg. Analyses should also include an estimate of resulting COV costs as a direct result of VITA or NG's failure to handle the request properly or follow a defined process. | | | | 6/08 | Corrective actions will be in place for July Board meeting. Will seek feedback to confirm if additional improvements are required. |
| | | | | | | 9/08 | Detailed reports showing critical incidents provided to Board Chairman & Committee Chairman on quarterly basis. Complete. |



Corrective Action Plans Status a/o 9/08

APA Report on Performance Audit a/o 6/30/07, Issued 7/08

| APA Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|---------|--|--|----------|-----------------------|--------|-------------------|---|
| 1 | Analyze IV&V Results to Develop or Change IV&V Process | The Division should implement a knowledge base repository for IV&V reports, allowing them to analyze IV&V reports across the COV & assist in improving the current process. The Division should consider using a document management system, such as SharePoint, as the central repository for the IV&V reports. This will allow visibility of the report throughout VITA & enhance the communication between departments within VITA. | 3/09 | Jerry Simonoff | U | Initial Plan 7/08 | Design & implement in conjunction with APA Reference 4. Activities: <ol style="list-style-type: none"> 1. Design appropriate directory structure for knowledge base repository; 2. Select solution that will best support structure; 3. Implement & test solution; 4. Modify PMD procedures; & 5. Communicate change to stakeholders. |
| | | | | | | 9/08 | Status of Planned Activities: <ol style="list-style-type: none"> 1. COMPLETE. 2. COMPLETE: SharePoint selected. 3. COMPLETE. 4. In process. 5. Not started. |
| 2 | Analyze & Revise the IV&V Standard & Templates | The Division should review & analyze the tasks included in the standard IV&V statement of work template & eliminate any tasks that duplicate efforts already performed by Division specialists. The removal of these tasks from the template will eliminate unnecessary costs to agencies, & allow IV&Vs to focus on their main objective, verification & validation of project deliverables. | 6/09 | Jerry Simonoff | U | Initial Plan 7/08 | Design & implement in conjunction with APA Reference 3. Activities: <ol style="list-style-type: none"> 1. Review available research & current best practices for public sector IV&V; 2. Review & analyze tasks to identify duplicate efforts; 3. Modify IV&V templates; 4. If necessary, revise PM Standard; & 5. Communicate change to stakeholders.. |
| | | | | | | 9/08 | Status of Planned Activities: <ol style="list-style-type: none"> 1. COMPLETE. 2. In process. 3. Not started. 4. Not started. 5. Not started. |
| 3 | Implement Validation as part of IV&V Efforts | The Division should strengthen the validation requirements in IV&V reviews. The Division should evaluate best practices on validation & incorporate them into the Standard. The Division should also consider methods to reduce the amount of verification in IV&Vs & bring third parties in to perform the validation components. | 6/09 | Jerry Simonoff | U | Initial Plan 7/08 | Design & implement in conjunction with APA Reference 2. Activities: <ol style="list-style-type: none"> 1. Review available research & current best practices for public sector IV&V; 2. Evaluate overall impact of reduced verification & use of 3rd parties to perform validation tasks; 3. Identify additional validation tasks & establish criteria for when those tasks should be included in an IV&V review; 4. Modify IV&V templates; 5. If necessary, revise PM Standard; & 6. Communicate change to stakeholders.. |

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APA Report on Performance Audit a/o 6/30/07, Issued 7/08

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|---------|---|--|----------|-----------------------|--------|-------------------|--|
| | | | | | | 9/08 | Status of Planned Activities: <ol style="list-style-type: none"> 1. COMPLETE. 2. In process. 3. In process. 4. Not started. 5. Not started. 6. Not started. |
| 4 | Develop Standards for Project Documentation | The Division should develop standard folder architecture for all projects on their internal network drive & develop a frequency for how often analysts should upload project documents from their laptops. Further, the Division should consider using a document management system, such as Microsoft SharePoint, to organize their project documents. Having an organized folder structure will allow new or transitioned analysts to gain an understanding of the project more effectively. | 3/09 | Jerry Simonoff | U | Initial Plan 7/08 | Design & implement in conjunction with APA Reference 1. Activities: <ol style="list-style-type: none"> 1. Design appropriate directory structure; 2. Select solution that will best support structure; 3. Implement & test solution; 4. Modify PMD procedures; & 5. Communicate change to stakeholders. |
| | | | | | | 9/08 | Status of Planned Activities: <ol style="list-style-type: none"> 1. In process. 2. Not started. 3. Not started. 4. Not started. 5. Not started. |
| 5 | Properly Complete Employment Eligibility Verification Forms | Follow the VITA policy & procedures on I-9 process, train HR staff on I-9 form requirements & develop procedures to continuously review I-9 forms for compliance with fed regs. | 7/08 | Jim Roberts | C | Initial Plan 7/08 | A training session on the proper completion of the I-9 form was held on May 7, 2008 with all staff responsible for hiring. Mistakes were pointed out & the new directions from the Department of Human Resource Management (DHRM), issued in their April 20, 2008 AHRM Periodical, were reviewed. For the future, the I-9 form will be filled out principally by the Recruitment Specialist. The VITA I-9 Form Policy & Procedure will be updated to include procedures for a continuous review of I-9 forms. Quality Control will be performed by the HRIS Coordinator. All previously submitted I-9's have been corrected as provided for in the DHRM guidance dated April 20, 2008. |
| | | | | | | 9/08 | Updated I-9 Policy & Procedures have been submitted for internal review & posted. |



Corrective Action Plans Status a/o 9/08

APA Wireless E911 Services Board Report on Audit a/o 6/30/07, Issued 8/08

| APA Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|---------|--|---|----------|-----------------------|--------|-------------------|---|
| 1 | Improve Accounting & Financial Control Processes | Seek revisions to the Code of Virginia or the Appropriations Act to clarify the use of the Fund to cover program related administrative costs. | 01/09 | Jerry Simonoff | U | Initial Plan 8/08 | ITIES Staff is working with VITA Counsel to ensure all proposed changes are included in VITA's legislative requests to the Governor. |
| | | | | | | 9/08 | A legislative proposal has been submitted to the Governor's Office for consideration. No indication has been received as to whether it will be accepted as of yet. |
| 2 | Improve Accounting & Financial Control Processes | Work with the Planning & Budget & Accounts to ensure that appropriations intended to support the Fund & VGIN are sufficiently segregated within the Appropriations Act, CARS & the internal accounting system | 01/09 | Jim Roberts | U | Initial Plan 8/08 | VITA Finance & Administration Staff has already begun working with DPB for formalize the separation for funding between E-911 & VGIN. |
| | | | | | | 9/08 | VITA Finance & Administration Staff are awaiting instructions from DPB to submit these changes for the upcoming budget development cycle. |
| 3 | Improve Accounting & Financial Control Processes | Retain documentation to support calculation of payments to localities | 01/09 | Jerry Simonoff | C | Initial Plan 8/08 | Documentation for FY2008 was retained & will be retained for all future calculations. |
| | | | | | | 9/08 | Completed. |



Corrective Action Plans Status a/o 9/08

Public Safety Communications Report, Issued 2/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|--|--|----------|-----------------------|--------|-------------------|--|
| 1 | Document & Disseminate PSC Internal Procedures, Training Plan & Timeline | Document & disseminate internal procedures for CMRS & PSAP, CMRS Surcharge Remissions; & a plan & timeline for training. | 7/08 | Jerry Simonoff | C | Initial Plan 2/08 | ISP staff will document the existing internal process for the receipt of CMRS revenue & all outgoing payments. After these processes are documented, training will be conducted to ensure that each person responsible for performing the process has at least one back-up to perform their function in their stead. |
| | | | | | | 3/08 | ISP staff has started collecting information about the current internal procedures for CMRS & PSAP, CMRS Surcharge Remissions to create the procedural documentation. |
| | | | | | | 6/08 | ISP Staff has drafted the internal procedure documentation for CMRS & PSAP, CMRS Surcharge Remissions & is on schedule to complete this corrective action. |
| | | | | | | 9/08 | The document has been completed & training is currently being conducted & will be completed in the next 30 days. |
| 2 | Document & Disseminate PSAP & CMRS Policies & Procedures | Document & disseminate external policies & procedures for CMRS surcharge collection & remittance, & PSAP funding. | 7/08 | Jerry Simonoff | C | Initial Plan 2/08 | By the start of the next funding cycle, ISP staff will document the existing external facing procedures for the processing of all PSAP & CMRS funding |
| | | | | | | 3/08 | ISP staff has outlined the external procedures for CMRS surcharge collection & remittance. Staff will continue to develop this procedure & will outline the PSAP funding process. |
| | | | | | | 6/08 | ISP Staff has begun drafting the external procedure documentation for CMRS surcharge collection & remittance & is on schedule to complete this corrective action. |
| | | | | | | 9/08 | The document has been completed & disseminated. |
| 3 | Document & Implement a Surcharge Confirmation Procedure | Document & disseminate a methodology to assess accuracy of CMRS surcharge remittance activity. | 9/08 | Jerry Simonoff | C | Initial Plan 2/08 | Accuracy of the CMRS remittance activity has historically been difficult to assess. The creation of the Telecommunications Trust Fund in Jan. 07 provides a similar revenue stream that could permit comparison & identification of anomalies. ISP staff will work with the Tax Dept. to develop a process for comparison. |
| | | | | | | 3/08 | ISP staff has not begun work on this item as of yet. |
| | | | | | | 6/08 | Drafted the methodology documentation for CMRS surcharge remittance & is on schedule to complete this corrective action. |
| | | | | | | 9/08 | This document has been completed & disseminated. |

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| 4a | Strengthen Controls Over CMRS Expense Reimbursement | Define & document VITA procedures for review, approval & processing of invoices. | 5/08 7/08 | Jim Roberts | C | Initial Plan 2/08 | We have already strengthened our controls in this area by performing a more consistent review of E911 related invoices. We will formalize this process in a policy/procedure that encompasses all invoices received & processed in the accounts payable area. |
| | | | | | | 3/08 | Policy & procedures are under review for updating to conform with these findings. |
| | | | | | | 6/08 | New policies & procedures for Cash Receipt & Vendor Invoice have been developed & were submitted for internal review on 5/13/08. Due to a backlog of policies under review, these policies & procedures are scheduled for completion in July. |
| | | | | | | 9/08 | Policies & procedures for Cash Receipt & Vendor Invoice have been approved & posted. |
| 4b | Strengthen Controls Over CMRS Expense Reimbursement | Define & document PSC procedures for the review & verification CMRS provider invoices. | 7/08 | Jerry Simonoff | C | Initial Plan 2/08 | By the start of FY2009, ISP staff will develop a process for the review & verification of all CMRS payment requests. The process that is developed will also be utilized to close out FY2008 with the CMRS providers. |
| | | | | | | 3/08 | ISP staff has not begun work on this item as of yet. |
| | | | | | | 6/08 | ISP Staff has begun documentation for the review & verification of CMRS provider invoices. Additionally, a staff member, who will be able to assist in this effort, is being added with specific CMRS experience. Though this corrective action is behind schedule, it is expected to be completed on schedule. |
| | | | | | | 9/08 | This document has been completed. |
| 5a | Strengthen Controls Over CMRS Surcharge Receipts | Define & document data entry procedure for posting of CMRS surcharge revenue payments. | 5/08 7/08 | Jim Roberts | C | Initial Plan 2/08 | We have already strengthened our controls in this area by developing a spreadsheet to track all receipts by vendor & by month. At any given point in time we know which checks are outstanding. We are also using a standardized format when inputting the receipts in PeopleSoft so that the data can be easily queried against. We will formalize this process as part of a policy/procedure that covers all aspects of receiving money, including receiving checks, recording them in preparation for deposit, taking them to the bank, keying them to PeopleSoft, etc. |

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| | | | | | | 3/08 | Strengthened controls have been implemented & will be included in policy & procedures under review for update & implementation. |
| | | | | | | 6/08 | New policies & procedures for Cash Receipt & Vendor Invoice & an updated People Soft Policy & Procedure have been developed & submitted for internal review in May, 2008. Due to a backlog of policies under review, these policies & procedures are scheduled for completion in July. |
| | | | | | | 9/08 | New policies & procedures for Cash Receipt & Vendor Invoice & People Soft Policy & Procedure have been approved & posted. |
| 5b | Strengthen Controls Over CMRS Surcharge Receipts | Enhance PSC oversight controls for CMRS surcharge payments & document in the internal CMRS surcharge procedures. | 7/08 | Jerry Simonoff | C | Initial Plan 2/08 | By the start of FY2009, ISP staff will develop a process for the monthly validation of CMRS revenues & for remedy of discrepancies with F&A. A process has already been implemented to better track the payments by consistent entry of the revenue data in PeopleSoft as recommended in this item. |
| | | | | | | 3/08 | ISP staff has not begun work on this item as of yet. |
| | | | | | | 6/08 | ISP staff has not begun work on this item as of yet, but it is expected to be completed on schedule. |
| | | | | | | 9/08 | The oversight controls have been enhanced & documentation of the new procedure has been completed. |
| 6 | Strengthen Controls Over CMRS Payments & Invoices | Develop & implement a documented procedure enhancing controls over CMRS provider payments & invoices. | 5/08 7/08 | Jim Roberts | C | Initial Plan 2/08 | We will work with Public Safety to notify all CMRS providers that invoices & checks should be mailed directly to Accounts Payable. We will also develop a policy/procedure that addresses exceptions to this rule. |
| | | | | | | 3/08 | Strengthened controls are being developed & CMRS providers will be advised to communicate directly with accts payable for payments & invoicing. These process improvements will be incl. in policy & procedures under review for implementation. |
| | | | | | | 6/08 | New policies & procedures for Cash Receipt & Vendor Invoice & an updated People Soft Policy & Procedure have been developed & submitted for internal review in May, 2008. Due to a backlog of policies under review, these policies & procedures are scheduled for completion in July. |

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| | | | | | | 9/08 | New policies & procedures for Cash Receipt & Vendor Invoice & People Soft Policy & Procedure have been approved & posted. |
| 8 | Incorporate Records for PSAP & CMRS Funding in Records Mgmt Efforts | Centrally locate all records considered in the granting of PSC funding awards, & incorporate all funding records in the VITA records survey. | 8/08 | Jerry Simonoff | C | Initial Plan 2/08 | This will be implemented in time for the start of the FY2010 PSAP grant funding process. |
| | | | | | | 3/08 | ISP staff has not begun work on this item as of yet. |
| | | | | | | 6/08 | ISP staff has not begun work on this item as of yet. |
| | | | | | | 9/08 | All PSC records have been incorporated in the central files of the ISP. |
| 9a | Standardized Grant Application Form & Require Supporting Documentation | Augment Grant Guideline requirements to include PSAP submission of supporting documentation at application. | 7/08 | Jerry Simonoff | C | Initial Plan 2/08 | The PSAP Grant Committee of the Wireless E-911 Services Board will recommend changes to the grant guidelines for the FY2010 grant cycle at the Board's May 2008 meeting. These recommended changes will include requirements to include PSAP submission of supporting documentation. |
| | | | | | | 3/08 | The PSAP Grant committee will address this issue at their April 9 th & 10 th meeting. Staff will then document the results & disseminate it to all PSAPs throughout the Commonwealth. |
| | | | | | | 6/08 | The PSAP Grant Committee has addressed this issue with their last update of the PSAP Grant Guidelines approved by the Wireless E-911 Services Board at their April 22, 2008, meeting. |
| | | | | | | 9/08 | Completed. |
| 9b | Standardized Grant Application Form & Require Supporting Documentation | Create a standardized grant application form & implement in an online submission process. | 8/08 | Jerry Simonoff | C | Initial Plan 2/08 | The grant application has been standardized & an initial web application was utilized for the FY2009 grant cycle. Limitations of this initial application limited its usefulness for that process, but development of the full application will be completed in time for the FY2010 cycle. |
| | | | | | | 3/08 | The PSAP Grant committee will address this issue at their April 9 th & 10 th meeting. Staff will then document the results & modify the current online application as necessary. |
| | | | | | | 6/08 | The online submission form has been modified, as required, as a result of the Wireless E-911 Services Board's action at their April |

Status Legend: NS = Not Started, U = Underway; C = Completed



Corrective Action Plans Status a/o 9/08

Public Safety Communications Report, Issued 2/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|---|---|----------|-----------------------|--------|-------------------|--|
| | | | | | | | 22, 2008, meeting. |
| 10 | Hire a PSC Financial Support Staff Member | Evaluate PSC work load to support hire of PSC staff support w/ financial background to assist in carrying out recommended control activities. | 7/08 | Jerry Simonoff | C | 9/08 | Completed. |
| | | | | | | Initial Plan 2/08 | The ISP will advertise & hire this position as soon as permitted under the statewide hiring freeze. |
| | | | | | | 3/08 | Recruitment for this position is still being held up by the statewide hiring freeze. If the freeze is not lift by April 10, Secretarial approval will be sought for filling this position. |
| | | | | | | 6/08 | Interviews for this position have been conducted & an offer will be made to an applicant in the coming weeks. |
| | | | | | | 9/08 | Based on the workload & need, 2 additional staff were hired to support the financial aspect of the PSC & Wireless E-911 Services Board. 1st is a Financial Program Mgr within the PSC to administer the grant program & funding initiatives. 2nd in the VITA Finance Division to ensure payments are processed & tracked accordingly. |



Corrective Action Plans Status a/o 9/08

Federal Tax Information Safeguard, Issued 4/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|---|--|-------------------------|-----------------------|--------|----------------------|--|
| 2a | Amend Iron Mountain Contract & Ensure Access Lists are Referenced | Amend Iron Mountain contract to require Iron Mountain employees to comply with MOA requirements & retain the appropriate documentation to demonstrate compliance with MOA section 4.1. | 6/08 7/08 | Fred Duball | C | Initial Plan 4/08 | A meeting with NG contract group & Iron Mountain is planned to discuss FTI training, confidentiality & disclosure requirements. SMO will obtain documentation from Iron Mountain that supports compliance to MOA section 4.1. |
| | | | | | | 6/08 | NG Contracts met with Iron Mountain Representative to discuss contract amendment. Negotiations are still being made. A draft amendment has been created. A document is coming from Iron Mountain to illustrate their compliance with the MOA 4.1 requirements. A one month extension is requested to complete activities. |
| | | | | | | 9/08 | Met with Iron Mountain on 7/30/08 & agreed that their procedures for chain of custody; employee compliance procedures; & site security together meet the requirements for the individuals who have access to TAX Department FTI data. Documented procedures from Iron Mountain reviewed & on file. |
| 3 | Implement Procedures to Retain Signed Disclosure Forms & Verify Annual Training | Document & implement procedures to ensure Disclosure Statements & verification of annual training for employees/contractors authorized to handle FTI are obtained & filed in HR. | 7/08 | Fred Duball | C | Initial Plan 4/08 | Procedures will be in place, that ensure Disclosure Statements & verification of annual training for employees/contractors authorized to handle FTI are obtained & filed in HR. |
| | | | | | | 6/08 | Computer Operations performed an annual training session in April 2008 for all the VITA/NG employees on the Tax FTI Data Access list & submitted signed forms to VITA HR to be maintained in VITA HR. On a periodic basis when names are added to the Tax FTI Data Access list, training is provided & the forms required are signed & given to VITA HR. A procedure to be used in VITA HR is in draft form for review & will be finalized by month end July 2008, as requested. |
| | | | | | | 9/08 | The procedure for HR has been written & the process has been discussed with HR. Not mentioned in previous update; however, the TAX FTI Data Access list & signed employee documents for TAX Server & Data Base Support staff have been signed for 2008 & were brought to HR. |
| 4 | Update the 2007 MOA Between VITA & TAX | Update the MOA to clearly define changes in inventory responsibilities, background checks for legacy employees/contractors, & retention | 8/08 3/09 | Debbie Secor | U | Initial Plan 4/08 | Clearly define changes in inventory responsibilities, clarify requirements regarding background checks, designate retention responsibilities over FTI access lists, & include requirements of IRS Publication 1075. Pending resolution of these issues, secure final MOA approval & signatures from VITA & TAX. |

Status Legend: NS = Not Started, U = Underway; C = Completed



Corrective Action Plans Status a/o 9/08

Federal Tax Information Safeguard, Issued 4/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|---|---|----------|-----------------------|--------|-------------------|--|
| | | responsibilities over FTI access lists. | | | | 6/08 | Continuing to work with the Dept. of Taxation to update the MOA. |
| | | | | | | 9/08 | Per TAX, due to the numerous changes in not only the IRS publication 1075, but also in the methodology used by their auditors to measure TAX's compliance, TAX has decided to wait until receiving the IRS audit report &/or any IRS findings before working on a revised MOA so that any findings with the revision can be addressed. To date, TAX has not received the IRS audit report, so this is on hold until that report is received & analyzed. |
| 5 | Exchange Authorization Lists with Broad Street & TAX Timely | Document & implement a procedure to verify timely exchange of authorization lists w/ the Federal Safeguard Coordinator as required by MOA section 1.2. | 7/08 | Fred Duball | C | Initial Plan 4/08 | Procedures will be in place that verify timely exchange of authorization lists w/ the Federal Safeguard Coordinator as required by MOA section 1.2. |
| | | | | | | 6/08 | Procedures are in draft for review that will ensure that updates to the name lists for access to FTI data are transferred between VITA/NG, TAX locations & Tax (the Federal Safeguard Coordinator) in a timely manner by adding the date & party on send & receive acknowledgements. |
| | | | | | | 9/08 | Procedures have been finalized & the procedure for verification of timely exchange of authorization lists w/ the Federal Safeguard Coordinator have been embedded in the TAX IRS TAPE OPERATIONS PROCEDURES DOCUMENT dated 06/30/2008. |
| 6 | Distribute & Enforce Procedures for FTI Movement & Custody of All FTI Tapes | Institute annual training program & verification to help sustain awareness & reinforce importance of recording the movement of FTI tapes as specified in MOA section 1.2. | 7/08 | Fred Duball | C | Initial Plan 4/08 | Procedures will be in place that institute a annual training program & verification to help sustain awareness & reinforce importance of recording the movement of FTI tapes as specified in MOA section 1.2. |
| | | | | | | 6/08 | A draft plan has been created to illustrate the procedure for maintaining chain of custody when transporting FTI tapes as specified in the MOA section 1.2. An annual training plan is being developed for uniform awareness. |
| | | | | | | 9/08 | A procedure for annual training has been completed & is a part of the TAX IRS TAPE OPERATIONS PROCEDURES DOCUMENT dated 06/30/2008. The TAX Server & Data Base Support groups are included in this procedure. A comprehensive verification of chain of custody of all CESC |

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Corrective Action Plans Status a/o 9/08

Federal Tax Information Safeguard, Issued 4/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|--|---|---------------------------------|-----------------------|--------|----------------------|---|
| | | | | | | | building access to locations of possible access to FTI data has been verified & documented in the NGC Security group assigned to the VITA IT Partnership. |
| | | | | | | | With the addition of the AOM position to support the TAX Dept, Gerry Huck has accepted the responsibility to ensure the resident support personnel at the TAX Dept. locations view the required training video & provide signature forms to be delivered to VITA HR. |
| 7 | Update Records Survey to Include FTI Records | Update the records survey to include FTI documents & retain schedules as specified in the Library of Virginia Records Retention & Disposition Schedule No. 101 & MOA section 1.2. | 8/08 10/08 | Fred Duball | U | Initial Plan 4/08 | A Records Manager will be hired within NG’s PMO. Upon hire that position will update the records survey to include FTI documents & retain schedules as specified in the Library of Virginia Records Retention & Disposition Schedule No. 101 & MOA section 1.2. |
| | | | | | | | 6/08 The NG PMO is in the process of hiring a Records Manager for the VITA Program to perform the duties reported in April 2008, & coordinate with the VITA Records Manager for full reporting of the records survey to meet the Library of Virginia requirements & MOA section 1.2. |
| | | | | | | | 9/08 NG Cross Functional Services will stand up the Records Coordinator position. It has been moved from the NG PMO. A person has been assigned to fill this role & will begin standing up the position immediately. |
| | | | | | | | The VITA portion of this Action Item was addressed with a scheduled meeting with LVA to update the Schedule 101 & FTI records will be added. This meeting occurred 9/08. |



Corrective Action Plans Status a/o 9/08

Telework Review, Issued 6/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|---|---|----------|-----------------------|--------|-------------------|--|
| 1 | Designate a Telework Coordinator & Incorporate Telework Training | Designate a Telework Coordinator & have coordinate incorporation of telework training into VITA's teleworking program. | 7/08 | Lem Stewart | C | Initial Plan 6/08 | Name a Telework Coordinator. 9/08 The HR Director has been designated as VITA's Telework Coordinator & responsibilities for tracking & training have been assigned. Telework training will follow the release of the updated Teleworking policy by 10/08. |
| 2 | Revise & Expand VITA Teleworking Policy & Procedure | Revise Teleworking Policy/ Procedure to include missing "Roadmap" & DHRM 1.61 Components. | 1/09 | Jim Roberts | U | Initial Plan 6/08 | Incorporate new legislation & Roadmap report for annual policy update, including DHRM & DOA policy. Submit draft policy for PPRAT review. Announce new telework policy in Dialogue meeting & VITA buzz. 9/08 The Teleworking Policy & Teleworking Agreement have been updated & submitted for PPRAT review. |
| 3a | Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions | Align mgmt policy & practice for payment & provision of aircards/cell phones/offsite land lines. | 1/09 | Jim Roberts | U | Initial Plan 6/08 | Review VITA policy for necessary updates & identify any potential conflicts. 9/08 A new telecommunications coordinator has been designated & a team is currently reviewing updated inventory of VITA issued devices. The final inventory of VITA issued services & devices will be reviewed w/Directors for compliance with telework policy & other requirements for remote access. |
| 3b | Align VITA Policy & Practice for Network Connection & Supporting Equipment Provisions | Define & document procedures to coordinate ordering, payment, & tracking activities for aircards/cell phones/offsite land lines & correctly align records tracking existing VITA-paid provisions. | 1/09 | Jim Roberts | U | Initial Plan 6/08 | Review telco assets assigned within VITA & align with billing & purpose of assignment. 9/08 A new telecommunications coordinator has been designated & has completed the review & disconnect of remaining VITA issued devices for managed employees. A team is currently reviewing the process to update current assignments & procedures for management review. |
| 4 | Update Essential Designation Categories for Job Descriptions | Update VITA job description form to simplify designation & expand form instructions to include definition for essential categories – COOP/Pandemic. | 11/08 | Jim Roberts | U | Initial Plan 6/08 | Resolution pending as per COOP team discussions. Align terms defined dealing with inclement weather, key employees, essential employees, etc. across policies set by VITA, DHRM, VDEM & other central agencies. 9/08 Position description & performance plan are being merged |

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Corrective Action Plans Status a/o 9/08

Telework Review, Issued 6/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|---|---|----------|-----------------------|--------|-------------------|---|
| | | | | | | | & will be rolled out for the 08-09 performance cycle & will include information for employees designated for the various essential roles for continuity of operations during emergencies & inclement weather. |
| 5 | Accurately Reflect Telework Statistics | Define & document procedures to reflect all telework activity, submit only employees teleworking at least 1 day/wk for PMIS stats, & merge & revise the Telework App/Agreement forms. | 3/09 | Jim Roberts | U | Initial Plan 6/08 | Align new telework definitions in 2008 legislation, DHRM policy & roadmap reports. |
| | | | | | | 9/08 | Telework statistics have been updated to reflect the new requirement for telework practice at least 32 hrs/month required in 2008 legislation & new DHRM policy. These requirements have also been reflected in the updated Policy & Telework Agreement submitted for PPRAT review. |
| 6 | Document Internal HR Telework Administration Procedures | Define & document HR telework admin procedures including mgmt, review, compliance, & record retention. | 4/09 | Jim Roberts | U | Initial Plan 6/08 | Incorporate updated HR procedures with new policy & PAM processing for mgmt review. |
| | | | | | | 9/08 | Human Resource employee designations for telework forms, statistics & training have been made. Internal procedures will be documented & continuously updated to align with the telework policy & agreement. . |



Corrective Action Plans Status a/o 9/08

Virginia Interactive Review, Issued 9/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|--|---|----------|-----------------------|--------|-------------------|---|
| 1 | Properly Manage General Fund Transfers | Review, validate & approve VI use of \$451,000 & \$902,000 in savings for contract alignment | 8/09 | Jim Roberts | NS | Initial Plan 9/08 | While the contract provides in Section 10 that VI is entitled to keep as its fee for services all remaining Adjusted Gross Revenue -including those amounts representing any reduction in General fund Transfers –VITA will engage VI in discussions about applying those reduced amounts in a manner which mutually benefits both parties & promotes the Purpose of the Information Network & as set forth in Section 1 of the Contract. |
| 2 | Seek OAG Advice on the VI Contract & Relationship | Obtain the advice of an OAG representative on the VI contract & relationship & current & future options | 11/08 | Jim Roberts | NS | Initial Plan 9/08 | Submit request to OAG to review contract status, & to provide guidance for ongoing management of the contract. |
| 3a | Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees | Document & implement processes to execute Interagency Agreements, including rates & fees | 6/09 | Jim Roberts | NS | Initial Plan 9/08 | Designate Contract Manager. Manager will document & implement a process to ensure that new Interagency Agreements utilize model language developed in 12/07, that new Agreements are properly reviewed & executed in accordance with the contract provisions, & that rates & fees set forth in the Agreements receive final approval by VITA. |
| 3b | Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees | Ensure agreements exist, restructure existing agreements to be between VITA & the agency or locality, & include access & data protection procedures | 6/09 | Jim Roberts | NS | Initial Plan 9/08 | Designate Contract Manager. Manager will document & implement a process to review existing Interagency Agreements to ensure they are current, centrally maintained, & updated as necessary to incorporate model language. Also, agreements will be restructured to be between VITA & the agency or locality as stated in the contract with VI or the contract will be changed to support existing practices. |
| 3c | Document & Implement Processes to Execute Interagency Agreements, Including Rates & Fees | Designate someone to work with VI & make sure communications reflect their role | 8/09 | Jim Roberts | NS | Initial Plan 9/08 | Engage the Virginia Enterprise Applications Office & Coordinate with the CAO the development of Interagency Agreements, & the relationship between VI & customer agencies, to include the relationship of the Parties as set forth in the contract, in particular Sections 4 & 7. |

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Corrective Action Plans Status a/o 9/08

Virginia Interactive Review, Issued 9/08

| Ref | Short Title | Summary | Due Date | Responsible Person(s) | Status | Status Date | Task / Comments |
|-----|--|---|----------|-----------------------|--------|-------------------|--|
| 4 | Document & Implement Contract Management & Oversight Processes | Document & implement an approach & processes to oversee compliance & monitor performance & operations | 6/09 | Jim Roberts | NS | Initial Plan 9/08 | Designate Contract Manager whose role & responsibilities are to document & implement oversight procedures to ensure compliance with contractual terms. This role will include maintaining the contract file, the Interagency Agreements, & ensuring the annual Business Plan is completed. |